APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/454,978	12/03/1999	PETER E. RAYNER	CITI0128	4487

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EXAMINER
BASHORE, ALAIN L

ART UNIT	PAPER NUMBER
1762	

DATE MAILED: 08/11/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

	Application No.	Applicant(s)
Supplemntal ***Notice of Allowability***	09/454,978	RAYNER ET AL.
	Examiner	Art Unit	
	Alain L. Bashore	1762	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *12-2-05*.

2. ☒ The allowed claim(s) is/are *1, 3-7, 11-13, 16, 18-28, 30-33, 35-36, 38-41, 46-47, 51, 53-54, 60, 64, 66-67*.

3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a) ☐ All   b) ☐ Some*   c) ☐ None of the:

        1. ☐ Certified copies of the priority documents have been received.

        2. ☐ Certified copies of the priority documents have been received in Application No. _____ .

        3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

    * Certified copies not received: _____ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.

    (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached

        1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____ .

    (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of

        Paper No./Mail Date _____ .

    Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)

2. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)

3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No./Mail Date _____

4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

5. ☐ Notice of Informal Patent Application (PTO-152)

6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .

7. ☐ Examiner's Amendment/Comment

8. ☒ Examiner's Statement of Reasons for Allowance

9. ☐ Other _____ .

Alain L. Bashore
 Primary Examiner
 Art Unit: 1762

DETAILED ACTION

Supplemental Action

This supplemental action re-starts the time period for response. The indication of

claims allowed is corrected.

Allowable Subject Matter

1.   Claims 1, 3-7, 11-13, 16, 18-28, 30-33, 35-36, 38-41, 46-47, 51, 53-54, 60,

64, 66-67 are allowed.

2.   The following is an examiner's statement of reasons for allowance:

The present invention includes independent claims 1, 38, 66, 67. Claim 1 recites

a method for data management of a financial transaction, claim 38 recites a system for

data management of a financial transaction, claim 66 recites a method of operating a

computer system for data management of a financial transaction, claim 67 recites a

computer system for data management of a financial transaction.

Orddish is considered the closest prior art. Ordish discloses a seller sending an

offer to sell a number of items at a given price to a host computer which anonymously

broadcasts the offer to all terminals on the host computer network.

Ordish does not disclose the combination including:

In claim 1:

generating a rate quote via at least one of the independently maintained

and segregated trading systems consisting of one of an executable rate quote and a

category trader's manual rate quote for the proposed financial transaction, wherein the

executable rate quote is generated if a first predefined condition for allowing the

proposed financial transaction on the basis of the executable rate quote is identified

a group of conditions consisting at least in part of a proposed transaction volume

not exceeding an available volume and a proposed transaction amount not exceeding

a predefined limit, and the category trader's manual rate quote is generated if a

second predefined condition for rejecting the proposed financial transaction on the

basis of the executable rate quote is identified from a group of conditions consisting at

least in part of a proposed transaction volume in excess of an available volume and a

proposed transaction amount in excess of a predefined limit and at least in part of a

predetermined setting of a request for quote parameter;

automatically prompting the user for a selection of the generated rate

quote for the proposed financial transaction via said at least one of the independently

maintained and segregated trading systems;

automatically holding the generated rate quote for a predetermined

period of time for the user by said at least one of the independently maintained and

segregated trading systems;

receiving a request for execution of the proposed transaction for the

user in accordance with the selection by the user of the generated rate quote by said

at least one of the independently maintained and segregated trading systems over the

network via the terminal; and

automatically executing the proposed transaction for the user in

accordance with the generated rate quote upon receipt of the request for execution

within the predetermined period of time by said at least one of the independently

maintained and segregated trading systems.

In claim 38:

each of the independently maintained and segregated trading systems

being adapted for generating a rate quote consisting of one of an executable rate

quote and a category trader's manual rate quote for the proposed financial transaction,

wherein the executable rate quote is generated if a first predefined condition for

allowing the proposed financial transaction on the basis of the executable rate quote is

identified from a group of conditions consisting at least in part of a proposed

transaction volume not exceeding an available volume and a proposed transaction

amount not exceeding a predefined limit, and the category trader's manual rate quote

is generated if a second predefined condition for rejecting the proposed financial

transaction on the basis of the executable rate quote is identified from a group of

conditions consisting at least in part of a proposed transaction volume in excess of an

available volume and a proposed transaction amount in excess of a predefined limit

and at least in part of a predetermined setting of a request for quote parameter;

wherein each of the independently maintained and segregated trading

systems is further adapted for automatically prompting the user for a selection of the

generated rate quote for the proposed financial transaction;

wherein each of the independently maintained and segregated trading

systems is also adapted for automatically holding the generated rate quote for a

predetermined period of time for the user;

wherein each of the independently maintained and segregated trading

systems is additionally adapted for receiving a request for execution of the proposed

transaction for the user in accordance with the selection by the user of the generated

rate quote over the network via the terminal; and

wherein each of the independently maintained and segregated trading

systems is adapted in addition for automatically executing the proposed transaction

for the user in accordance with the generated rate quote upon receipt of the request

for execution within the predefined period of time.

In claim 66:

generating a rate quote, via at least one of the independently maintained

and segregated trading systems, consisting of one of an executable rate quote and a

category trader's manual rate quote for the proposed financial transaction, wherein the

executable rate quote is generated if a predefined condition for generating the

executable rate quote is identified, wherein the predefined condition for generating

the executable rate quote exists if a predefined cause for rejecting the request for the

proposed financial transaction is not identified by at least one of a transaction server

coupled to the terminal and a rate server coupled to the transaction server, and upon

failure to identify the predefined condition for generating the executable rate quote,

the category trader's rate quote is generated if a predefined condition for generating

the category trader's rate quote is identified, wherein the predefined condition for

generating the category trader's rate quote exists if the predefined cause for rejecting

the request for the proposed financial transaction is identified and if a predetermined

setting of a request for quote parameter corresponding to the identified cause for

rejecting the request for the proposed financial transaction is likewise confirmed by at

least one of the transaction server and the rate server;

automatically prompting the user at the terminal for a selection of the

generated rate quote for the proposed financial transaction via said at least one of the

independently maintained and segregated trading systems, wherein the generated

rate quote comprises the executable rate quote if the predefined condition for

generating the executable rate quote is identified, and wherein upon failure to identify

the predefined condition for generating the executable rate quote, the generated rate

quote comprises the category trader's rate quote if the predefined condition for

generating the category trader's manual rate quote is identified;

automatically holding the generated rate quote for a predetermined

period of time for the user by said at least one of the independently maintained and

segregated trading systems;

receiving a request by the transaction server via the terminal for

execution of the proposed transaction for the user in accordance with the selection by

the user of the generated rate quote; and

handing off the request for execution of the proposed transaction by the

transaction server to a hand-off server for automatically executing the proposed

transaction for the user in accordance with the generated rate quote upon receipt of

the request for execution within the predetermined period of time.

In claim 67:

at least one transaction server of each of the independently maintained

and segregated trading systems being coupled to the terminal and at least one rate

server of each of the independently maintained and segregated trading systems being

coupled to the transaction server adapted for generating a rate quote consisting of one

of an executable rate quote and a category trader's manual rate quote for the

proposed financial transaction, wherein the executable rate quote is generated if a

predefined condition is identified, wherein the predefined condition for generating the

executable rate quote exists if a predefined cause for rejecting the request for the

proposed financial transaction is not identified by at least one of the transaction server

and the rate server, and upon failure to identify the predefined condition for generating

the executable rate quote, the category trader's rate quote is generated if a predefined

condition for generating the category trader's rate quote is identified, wherein the

predefined condition for generating the category trader's rate quote exists if the

predefined cause for rejecting the request for the proposed financial transaction is

identified and if a predetermined setting of a request for quote parameter

corresponding to the identified cause for rejecting the request for the proposed

financial transaction is likewise confirmed by at least one of the transaction server

and the rate server;

each of the independently maintained and segregated trading systems being further adapted for automatically prompting the user via the terminal for a selection of the generated rate quote for the proposed financial transaction, wherein the generated rate quote comprises the executable rate quote if the predetermined condition for generating the executable rate quote is identified, and wherein upon failure to identify the predefined condition for generating the executable rate quote, the generated rate quote comprises the category trader's rate quote if the predefined condition for generating the category trader's rate quote is identified;

a system counter for automatically holding the generated rate quote for a predetermined period of time for the user;

the transaction server being adapted for receiving a request via the terminal for execution of the proposed transaction for the user in accordance with the selection by the user of the generated rate quote; and

the transaction server being adapted for handing off the request for execution of the proposed transaction to a hand-off server for automatically executing the proposed transaction for the user in accordance with the generated rate quote upon receipt of the request for execution within the predefined period of time.

For these reasons claims 1, 38, 66, 67 are deemed to be allowable over the prior

art of record, and claims 3-7, 11-13, 16, 18-28, 30-33, 35-36, 39-41, 46-47, 51, 53, 54,

60, 64 are allowable by dependency.

Any comments considered necessary by applicant must be submitted no later

than the payment of the issue fee and, to avoid processing delays, should preferably

accompany the issue fee. Such submissions should be clearly labeled "Comments on

Statement of Reasons for Allowance."

Conclusion

3.   Allowable subject matter may require further review for applications in

class 705 before a notice of allowance is mailed to applicant. The time period for review

may vary from application to application.

4.   Any inquiry concerning this communication or earlier communications from

the examiner should be directed to Alain L. Bashore whose telephone number is 571-

272-6739. The examiner can normally be reached on about 7:30 am to 5:00 pm (Mon.

thru Thurs.).

Regarding all Class 705 applications, the management contact regarding

examination is: Vincent Millin (SPE, art unit 3624) at 571-272-6747.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Timothy Meeks can be reached on 571-272-1423. The fax phone number

for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR.

Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic

Business Center (EBC) at 866-217-9197 (toll-free).

Alain L. Bashore
Primary Examiner
Art Unit 1762